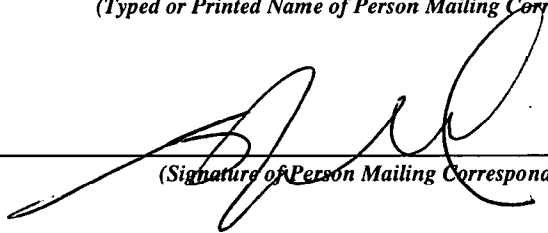


07-23-07

ITW

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Emerson Jones et al.		Docket Number 006878.114501	
Serial No. 10/676,297	Filing Date September 30, 2007	Examiner Ali, M	Group Art Unit 3609
Invention: METHOD AND SYSTEM FOR ANALYZING A CAPITAL STRUCTURE FOR A COMPANY			
I hereby certify that the following correspondence:			
<div style="border: 1px solid black; padding: 10px; min-height: 100px;"> Information Disclosure Statement (1 page); PTO SB/08a & SB/08b (3 pgs); 6 non-patent literature documents Return Receipt Postcard </div>			
<i>(Identify type of correspondence)</i>			
is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on			
July 20, 2007 <hr/> <i>(Date)</i>		Shoba Jaglal-Grullon <hr/> <i>(Typed or Printed Name of Person Mailing Correspondence)</i>	
		 <hr/> <i>(Signature of Person Mailing Correspondence)</i>	
		EV 558529696 US <hr/> <i>("Express Mail" Mailing Label Number)</i>	
Note: Each paper must have its own certificate of mailing.			



EV558529696US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jones, et al.	: Group Art Unit: 3609
Serial No.: 10/676,297	: Examiner: Ali, M
Filed: September 30, 2003	: Attorney Docket No.: 006878.114501
For: Method and System for Analyzing A Capital Structure For A Company	:

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

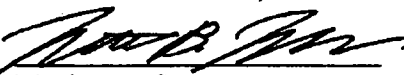
Sir:

This Information Disclosure Statement is filed pursuant to 37 C.F.R. 1.97(b)(3). In this regard, it is noted that there has not yet been a mailing of a first Office Action on the merits.

Of further note, no representation is intended that a complete search has been made by the applicants or that no better art references than those provided herewith are available. Moreover, the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited is, or is considered to be, material to patentability.

Respectfully submitted,
GREENBERG TRAURIG, LLP

Dated: July 20, 2007

By: 
Matthew B. Tropper
Registration No. 37,457

Mailing Address:
GREENBERG TRAURIG, LLP
MetLife Building
200 Park Avenue
New York, NY 10166
Telephone: (212) 801-2100
Facsimile: (212) 801-6400



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

of

3

Complete if Known

Application Number 10/676,297
Filing Date Sept 30, 2003
First Named Inventor Jones
Art Unit 3609
Examiner Name Ali, M.
Attorney Docket Number 006878-114501

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
MA		US- 2002/0046144	04-18-2002	Grieff	
		US- 2002/0065755	05-30-2002	Shigfman et al.	
		US- 2002/0075007	06-13-2002	Ayache	
		US- 2002/0099640	07-25-2002	Lange	
		US- 2002/0103738	08-01-2002	Griebl et al.	
		US- 2002/0147670	10-10-2002	Lange	
		US- 2002/0178101	11-28-2002	Swift	
		US- 2003/0014337	01-16-2003	Matthews et al.	
		US- 2003/0023325	01-30-2003	Chen	
		US- 2003/0028468	02-06-2003	Wong et al.	
		US- 2003/0069817	04-10-2003	Grieff	
		US- 2003/0036988	02-20-2003	James	
		US- 2003/0078870	04-24-2003	Dafar et al.	
		US- 2003/0101125	05-29-2003	McGill et al.	
		US- 2003/0115128	06-19-2003	Lange	
		US- 2003/0130941	07-10-2003	Birle, Jr. et al.	
		US- 2003/0135436	07-17-2003	Birle, Jr. et al.	
		US- 2003/0135446	07-17-2003	Birle, Jr. et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
V						

Examiner
Signature

/Mohamed Ali/

Date
Considered

09/13/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. 6 Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

PTO/SB/08a (09-08)

Approved for use through 03/31/2007. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	11/676,291
		Filing Date	Sept. 30, 2003
		First Named Inventor	Jones
		Art Unit	3609
		Examiner Name	Ali, M
		Attorney Docket Number	006878 114501
(Use as many sheets as necessary)			
Sheet	2	of	3

U. S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/MA/		US-2003/0236754	12-25-2003	Lance	
		US-2004/0005520	01-08-2004	Birto, Jr. et al.	
		US-5,704,045	12-30-1997	Hing et al.	
		US-5,742,775	04-21-1998	Hing	
		US-5,802,501	09-01-1998	Graff	
		US-6,061,662	05-09-2000	Markovic	
		US-6,148,293	11-14-2000	Hing	
		US-6,167,384	12-26-2000	Graff	
		US-6,192,347	02-20-2001	Graff	
		US-6,278,981	08-21-2001	Dembu	
		US-6,326,212	11-20-2001	Lance	
		US-6,546,375	04-08-2003	Park et al.	
		US-6,061,662	05-09-2000	Markovic, M.	
		US-			
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials ^a	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

Examiner Signature	/Mohamed Ali/	Date Considered	09/13/2007
--------------------	---------------	-----------------	------------

¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ² Applicant's unique citation designation number (optional). ³ See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ⁴ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁵ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁶ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁷ Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	10 676 297
		Filing Date	Sept. 30, 2003
		First Named Inventor	Jones
		Art Unit	3609
		Examiner Name	Ali, M.
Sheet 3 of 3	Attorney Docket Number	006878-114501	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/MA/		ISDA Letter to Mr. Timothy Lucas, Director of Research and Technical Activities, FASB, April 30, 2001	
		The Analyst's Accounting Observer Letter to Mr. Timothy Lucas, FASB, May 3, 2001	
		Six Batch of Proposed IAS39 Implementation Guidance Questions and Answers, Draft issued for comment on June 22, 2001	
		Exposure Draft of Proposed Amendments to IAS 32 and IAS 39, dated 2002	
		Intermediate Accounting by Loren Nikolai and John Baxley PWS-Kent Publishing Company 5th Edition, 1991 pp. 1183-1205	
		Sam's Teach Yourself Excel 97 in 10 Minutes by Jennifer Fulton, Sams, 1998 pp. 152-157	
/MA/			

Examiner Signature	/Mohamed Ali/	Date Considered	09/13/2007
--------------------	---------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.88. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.